

**Title 9—DEPARTMENT OF MENTAL HEALTH
Division 45—Division of Developmental Disabilities
Chapter 7—Standards for Provider Contracts**

PROPOSED RULE

9 CSR 45-7.050 Review of Provider Records and Service Sites

PURPOSE: This rule establishes practices to review provider records and service sites by the Division to assess contract compliance.

(1) The Division shall have access to all service sites and records pertaining to services provided, which includes but is not limited to the following:

(A) Entirety of each individual's service file, including but not limited to the following:

1. Intake and eligibility documentation;
2. Individualized Support Planning;
3. Progress notes;
4. Monthly reports;
5. Quarterly reports;
6. Progress logs;
7. Staff communication logs;
8. Medical information;
9. Assessments;
10. Census records;
11. Household ledgers;
12. Personal fund ledgers;
13. Individualized budgets;
14. Staffing patterns;
15. Transportation logs;

(B) Entirety of each employee's personnel file, including but not limited to the following:

1. Education requirements;
2. Professional license registration;
3. All trainings;
4. Employee time records;
5. Background screening results;
6. Employee performance reports; and

(C) Provider's practices, policies and procedures related to services delivered, contract compliance and service definitions.

(2) The Division, in its discretion, shall review service sites and records at the site of service delivery.

(3) The Division, in its discretion, shall request evidence of compliance with contract and service definitions.